

Applicant(s): James Travis, et al.

Docket No.: 235.00210101

JC10 Rec'd PCT/PTO 19 OCT 2001

Title: A POLYPEPTIDE HAVING AMIDOLYTIC ACTIVITY FOR A SERPIN

**BOX PCT**

Assistant Commissioner for Patents

Washington, D.C. 20231

We are transmitting the following documents along with this Transmittal Sheet (which is submitted in triplicate):

- ☒ Transmittal Letter to the United States DO/EO/US Concerning a Filing Under 35 U.S.C. 371 (Form PTO-1390, 2 signed copies, 2 pgs each).
- ☒ Formal Drawings (5 Figs on 7 sheets).
- ☐ A signed Declaration ( \_ pgs).
- ☒ Application Data Sheet ( 5 pgs).
- ☒ A signed Election Under 37 CFR 3.71, Revocation, Power of Attorney, and Certificate Under 3.73(b) (5 pgs, including copy of executed Assignment).
- ☐ An Assignment of the invention to \_ and Recordation Form Cover Sheet.
- ☐ A check in the amount of \$40.00 to pay the Assignment Recording Fee.
- ☒ A Preliminary Amendment (2 pgs).
- ☒ Computer readable form of Sequence Listing (1 diskette), paper copy of Sequence Listing (13 pgs), and Communication re. Sequence Listing (1 pg).
- ☒ Other: Copy of International Preliminary Examination Report; Copy of International Search Report.
- ☒ A check in the amount of \$1,020.00 to pay the filing fee.
- ☒ An itemized return postcard.

☒ Small Entity Status is entitled to be asserted in the above-identified application.

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 13-4895. Triplicate copies of this sheet are enclosed.

MUETING, RAASCH &amp; GEBHARDT, P.A.

Customer Number: 26813

By: David L. Provence

Name: David L. Provence

Reg. No.: 43,022

Direct Dial: 612-305-1005

Facsimile: 612-305-1228

**CERTIFICATE UNDER 37 CFR §1.10:**"Express Mail" mailing label number: EL 888271957 USDate of Deposit: October 19, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, BOX PCT, Washington, D.C. 20231.

By: Gara L. Ladwig

Name: Gara L. Ladwig

(SMALL ENTITY TRANSMITTAL UNDER RULE 1.10)

FORM PTO-1390 (Modified)  
(REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

235.00210101

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/030330

INTERNATIONAL APPLICATION NO.  
PCT/US00/10574INTERNATIONAL FILING DATE  
20 April 2000PRIORITY DATE CLAIMED  
21 April 1999

## TITLE OF INVENTION

A POLYPEPTIDE HAVING AMIDOLYTIC ACTIVITY FOR A SERPIN

## APPLICANT(S) FOR DO/EO/US

James TRAVIS, Jan S. POTEMPA, and Daniel C. NELSON

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☒ Other items or information:

Formal Drawings; Paper version of Sequence Listing and Communication re. Sequence Listing; Election and Power of Attorney; itemized return postcard.

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.101) <b>10/030330</b>		INTERNATIONAL APPLICATION NO. <b>PCT/US00/10574</b>		ATTORNEY'S DOCKET NUMBER <b>235.00210101</b>	
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24. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b>				<b>CALCULATIONS PTO USE ONLY</b>	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b>					
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$890.00</b>					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b>					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b>					
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>					
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$890.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$130.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	30 - 20 =	10	x \$18.00	<b>\$180.00</b>	
Independent claims	13 - 3 =	10	x \$84.00	<b>\$840.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$2,040.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.				<b>\$1,020.00</b>	
<b>SUBTOTAL =</b>				<b>\$1,020.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1,020.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1,020.00</b>	
				Amount to be: refunded \$	
				charged \$	

a. ☒ A check in the amount of **\$1,020.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

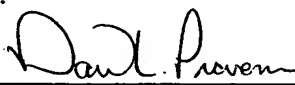
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **13-4895** A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**David L. Provence**  
**Muetting, Raasch & Gebhardt, P.A.**  
**P.O. Box 581415**  
**Minneapolis, Minnesota 55458-1415**  
**United States of America**

  
 SIGNATURE  
**David L. Provence**  
 NAME  
**43,022**  
 REGISTRATION NUMBER  
**October 19, 2001**  
 DATE